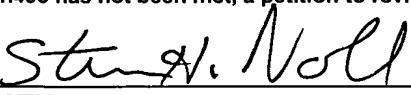


FORM PTO-1390 REV. 5-93		US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEYS DOCKET NUMBER <b>P01,0218</b>
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>09/868969</b>	
INTERNATIONAL APPLICATION NO. <b>PCT/DE99/03947</b>	INTERNATIONAL FILING DATE <b>10 December 1999</b>	PRIORITY DATE CLAIMED <b>23 December 1998</b>	
TITLE OF INVENTION <b>SEMI-SUBMERSIBLE DEADWEIGHT CARGO VESSEL</b>			
APPLICANT(S) FOR DO/EO/US <b>Peter Andersen and Hans Van Mameren</b>			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.</p> <p>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input type="checkbox"/> has been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</p> <p>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))</p> <p>a. <input checked="" type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) - <b>UNSIGNED</b>.</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>			
<p><b>Items 11. to 16. below concern other document(s) or information included:</b></p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (<b>PTO 1449, Prior Art, Search Report, References</b>).</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. <b>(SEE ATTACHED ENVELOPE)</b></p> <p>13. <input checked="" type="checkbox"/> Amendment "A" Prior to Action.</p> <p><input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</p> <p>14. <input checked="" type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of address letter attached to the Declaration.</p> <p>16. <input checked="" type="checkbox"/> Other items or information:</p> <p>a. <input checked="" type="checkbox"/> Submission of drawings and drawing changes</p> <p>b. <input checked="" type="checkbox"/> EXPRESS MAIL #EL843728186US</p>			

U.S. APPLICATION NO. (or docket no., if known, see 37 C.F.R. 1.15) <b>097868969</b>		INTERNATIONAL APPLICATION NO. PCT/DE99/03947	ATTORNEY'S DOCKET NUMBER PCT/0218	
17. <input checked="" type="checkbox"/> The following fees are submitted:			CALCULATIONS	PTO USE ONLY
<b>BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):</b> Search Report has been prepared by the EPO or JPO ..... \$860.00  International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) ..... \$690.00  No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$710.00  Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$1000.00  International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 100.00				
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>			\$ 860.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).			\$	
Claims	Number Filed	Number Extra	Rate	
Total Claims	11	- 20 = 0	X \$ 18.00	\$
Independent Claims	01	- 3 = 0	X \$ 80.00	\$
Multiple Dependent Claims			\$270.00 +	\$
<b>TOTAL OF ABOVE CALCULATIONS =</b>			\$ 860.00	
Reduction by ½ for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)			\$	
<b>SUBTOTAL =</b>			\$ 860.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			\$	
<b>TOTAL NATIONAL FEE =</b>			\$ 860.00	
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property			\$	
<b>TOTAL FEES ENCLOSED =</b>			\$ 860.00	
			Amount to be refunded	\$
			charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$ 860.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-1519</u> . A duplicate copy of this sheet is enclosed.				
NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.				
SEND ALL CORRESPONDENCE TO: <b>SCHIFF HARDIN &amp; WAITE PATENT DEPARTMENT 6600 Sears Tower 233 South Wacker Drive Chicago, Illinois 60606-6473 CUSTOMER NUMBER 26574</b>				
 <b>SIGNATURE</b> Steve H. Noll _____ <b>NAME</b> 28,982 _____ <b>Registration Number</b>				

09/868969  
JC18 Rec'd PCT/PTO 22 JUN 2001

BOX PCT

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE  
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY – CHAPTER II

**SUBMISSION OF DRAWINGS**

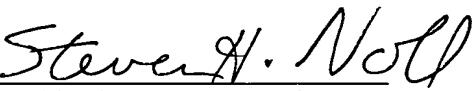
APPLICANT(S): ANDRESON, P, et al.  
ATTORNEY DOCKET NO: P01,0218  
INTERNATIONAL APPLICATION NO: PCT/DE99/03947  
INTERNATIONAL FILING DATE: 10 DEC 1999  
INVENTION: SEMI-SUBMERSIBLE  
DEADWEIGHT CARGO VESSEL

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Applicants herewith submit one sheet of drawings showing Figures 1 – 3  
in the captioned PCT application.

Respectfully submitted,

  
\_\_\_\_\_  
Steven H. Noll (Reg. No. 28,982)

SCHIFF, HARDIN & WAITE  
Patent Department  
6600 Sears Tower  
233 South Wacker Drive  
Chicago, IL 60606  
Telephone: (312) 258-5790  
Attorneys for Applicant(s)

Customer Number: 26574

IN THE UNITED STATES ELECTED OFFICE OF  
THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY - CHAPTER II

**LETTER PRESENTING FACTS**

5 APPLICANTS: Peter Andersen and Hans Van Mameren  
ATTORNEY  
DOCKET NO.: P01,0218  
SERIAL NO.: 09/868,969 EXAMINER:  
FILING DATE: ART UNIT:  
10 INTERNATIONAL APPLICATION NO.: PCT/DE99/03947  
INTERNATIONAL FILING DATE: 10 December 1999  
INVENTION: "SEMI-SUBMERSIBLE DEADWEIGHT CARGO VESSEL"

**BOX PCT**

15 Assistant Commissioner for Patents  
Washington, D.C. 20231

S I R:

20 A request to begin national examination procedures under 35 USC 371(f) along with a copy of the International Application, a translation of the application, an unsigned Declaration of the inventors and an amendment, substitute specification and Submission of Drawings with drawing changes were mailed by U.S. Express Mail to the United States Patent Office on June 22, 2001 and a post card receipt dated 22 June 2001 giving a U.S. Serial No. 09/868,969 (copy attached) was received from the U.S. Patent Office. Applicants' attorneys have not received any additional correspondence from the Patent Office and have not filed any additional correspondence with the Patent Office or the PCT Branch with regard to this  
25 National Stage Application.

5 Due to the long delay in not receiving any communication from the Patent Office, a telephone inquiry was placed with the PCT Help Desk on March 25, 2002. During this inquiry, the undersigned attorney was advised that a Change of Address had been entered in U.S. Serial No. 09/868,969 sometime in July of 2001 and that a Notification of Missing Requirements was mailed on August 13, 2001. The undersigned attorney advised the Help Desk that we had not filed any Change of Address for this application and that we had not received a Notification of Missing Requirements. The person at the Help Desk advised applicants' attorneys to contact Lemont Hunter, a paralegal in the PCT Division, who was handling this application.

10 15 During a telephone conference with Mr. Hunter on March 26, 2002, the undersigned attorney again explained that we had not received any communication from the Patent Office, except for the post card receipt, and that no Change of Address had been filed by applicants' attorneys. Mr. Hunter advised the undersigned attorney that a Notification of Missing Requirements was mailed on August 13, 2001 to P.O. Box 3321, Chicago at 222 Merchandise Mart Plaza, Chicago, Illinois 60654. Mr. Hunter also stated that we should file a second submission to submit the signed Declaration, a Change of Address to change the address back to Schiff Hardin & Waite, Patent Department, 6600 Sears Tower, 233 South Wacker Drive, Chicago, Illinois 60606-6473, Customer Number 26574, along with a letter setting forth the facts.

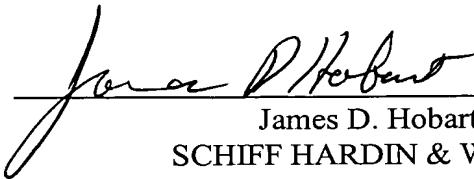
20

25 Attached to this second submission form is a Change of Address, Declaration, which was signed by Peter Andersen on October 26, 2001 and by Hans Van Mameren on October 29, 2001 and a check for the \$130 surcharge. It is respectfully requested that, in view of these submissions, a Notification of Acceptance be issued in the above-identified application, since it is believed that the only missing requirement was the Declaration signed by the two inventors. If

additional requirements are necessary, it is requested that a new Notification of Missing Requirements be issued setting a new period for response so that applicants may have a chance to respond to the new requirements.

5 It is respectfully submitted that the delay in responding to the Notification of Missing Requirements, which was never received by applicants' attorneys, is not due to the fault of applicants and is due to an error that occurred in the Change of Address for this application, which was due either to a typographical error made by the party requesting the Change of Address and/or an error in entering the Serial No. for that document. Thus, it is submitted that no additional fees are required for 10 responding to the above-mentioned Notification, which was never received by applicants' attorneys.

Respectfully submitted,

 (Reg. No. 24,149)

15 James D. Hobart

SCHIFF HARDIN & WAITE

Patent Department

6600 Sears Tower

233 South Wacker Drive

Chicago, Illinois 60606

20 Telephone: (312) 258-5781

Customer Number 26574

DATED: March 27, 2002

IN THE UNITED STATES ELECTED OFFICE OF  
THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY - CHAPTER II

**CHANGE OF ADDRESS OF APPLICANTS' REPRESENTATIVES**

5 APPLICANTS: Peter Andersen and Hans Van Mameren  
ATTORNEY  
DOCKET NO.: P01,0218  
SERIAL NO.: 09/868,969 EXAMINER:  
FILING DATE: ART UNIT:  
10 INTERNATIONAL APPLICATION NO.: PCT/DE99/03947  
INTERNATIONAL FILING DATE: 10 December 1999  
INVENTION: "SEMI-SUBMERSIBLE DEADWEIGHT CARGO VESSEL"

15 **BOX PCT**  
Assistant Commissioner for Patents  
Washington, D.C. 20231

SIR:

20 In July 2001, a Change of Address for applicants' representatives was  
incorrectly entered in the above-identified application. It is requested that the Patent  
Office change their records to indicate the firm designated on the original  
"Transmittal Letter to the United States Designated/Elected Office (DO/EO/US)  
Concerning a Filing Under 35 USC 371" which was filed on June 22, 2001.

All future correspondence with regard to the above-identified application, therefore, should be sent to the following address:

**SCHIFF HARDIN & WAITE**  
**Patent Department**  
6600 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606-6473  
**Customer Number: 26574**

Respectfully submitted,

10

James D. Hobart

**SCHIFF HARDIN & WAITE**  
Patent Department  
6600 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606  
Telephone: (312) 258-5781  
**Customer Number: 26574**

15

DATED: March 27, 2002

09/868969  
JC103'd PCT/PTO 22 JUN 2001

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

Express Mail Mailing Label Number EL843728186US

Date of Deposit: JUNE 22, 2001

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT  
Assistant Commissioner for Patents  
Washington DC 20231**

Case Number: **P01,0218**

Applicant(s): **PETER ANDERSEN ET AL.**

International Application No. **PCT/DE99/03947**

International Filing Date **10 DECEMBER 1999**

Priority Date Claimed **23 DECEMBER 1998**

Title: **SEMI-SUBMERSIBLE DEADWEIGHT CARGO VESSEL**

**Enclosed are the following documents:**

International application as filed;

English Translation;

Unsigned Declaration;

PTO 1390 in duplicate;

Amendment "A" prior to action;

Submission of Drawings;

Substitute Specification and Mark-Up for Substitute Specification;

Fee: \$ 860.00

Postcard.



Signature of person mailing documents and fees

HON. COMMISSIONER OF PATENTS & TRADEMARKS  
SHINGTON, D.C. 20231

SIR:

PLEASE APPLY A RECEIPT STAMP HERETO AND MAIL TO  
ACKNOWLEDGE RECEIPT OF THE ATTACHED:

Andersen, et al.

APPLICANT

PCT Transmittal, Application, Unsigned  
Declaration, Amendment "A", Drawings  
Substitute Specification, \$860.00 check

TYPE OF DOCUMENT(S)

June 22, 2001

MAILING DATE

P01,0218

REFERENCE NUMBER

SN  
Atty No. 28,982

682 Rec'

22 JUN 2001

SCHIFF HARDIN & WAITE